

Executive Summary of November 2005 Strategic Plan Progress Report

1. Identify and implement strategies to make enforcement efforts more effective; evaluate results.

- Past-due penalties are posted to the website and media notices distributed quarterly. (1-1)
- Time Matters software has been installed on compliance division workstations to improve case management and customer service. IT staff developed custom queries to give compliance staff immediate access to who-has-not-filed data. (1-5)
- Compliance staff is tracking the duration of investigations to monitor timeliness for routine, moderately complex and complex investigations. (1-7)

2. Enhance public access to disclosure reports and data through evolving technology.

- The ORCA software is on-schedule for production deployment in January 2006. (2-1)
- The on-line lobbyist pictorial directory will be posted on the website in January 2006. (2-8)
- An on-line customer survey is displayed on the home page, and customer subscriptions for automated e-mail alerts is planned. (2-5)

3. Enhance communication with agency customers

- Filers now rely primarily on electronic mail with internet links and compact diskettes for materials. (3-1)
- 25 electronic, pre-reporting reminders were sent to filers, and training for nearly 300 persons occurred during the first four months of FY 2006. (3-4 and 3-5)
- Copies of new complaints are posted to the website and new "plain talk" warning letters and enforcement hearing notices are being used for group enforcement. (3-2 and 3-3)
- Media visits to the Tri-Cities and Yakima were conducted to help enhance understanding of disclosure provisions and usage of the website. (3-7)

4. Increase Commission and staff capacity to meet future challenges.

- The technical re-write of chapter 42.17 RCW is underway. (4-2)
- A Performance Management Policy is being implemented. It can result in merit bonuses for extraordinary performance by classified employees. Job skill and personal development training opportunities are also offered to staff. (4-5)
- Installation for our redundant computing infrastructure will be completed in December 2005 and an Eastern Washington facility will be chosen by DIS to house these systems. (4-6)
- Approximately 90% of all documents and substantive correspondence has been incorporated in the computerized reference manual and an intranet website has been established to access the contents. (4-7)

5. Government Management Accountability Performance

- GMAP performance measures have been established, data tracking is underway and agency GMAP presentations will begin in January 2006. (4-9,4-10, 4-11, 4-12, 4-13 and 4-14)

Public Disclosure Commission

2005-07 Strategic Plan

November 2005 Progress Report

Mission Statement

The Public Disclosure Commission was created and empowered by Initiative of the People to provide timely and meaningful public access to information about the financing of political campaigns, lobbyist expenditures, and the financial affairs of public officials and candidates, and to ensure compliance with disclosure provisions, contribution limits, campaign practices and other campaign finance laws.

Vision Statement

We build public confidence in the political process and government.

Statutory Authority

The Public Disclosure Commission is created pursuant to RCW 42.17.350. The Commission's powers and duties are set forth in RCW 42.17.360, 42.17.365, 42.17.367, 42.17.370, 42.17.395 and other provisions of chapter 42.17 RCW.

Goals and Objectives

1. Identify and implement strategies to make enforcement efforts more effective; evaluate results.

Objective: Maximize uniformity of enforcement decisions.

Strategy: Institute policies and practices to streamline enforcement activity.
[Statewide Result No. 11. Activity: Enforcement of RCW 42.17.]

Action Items:

- 1-1 Publicize existing penalty schedules.
Who: Director of Public Outreach
Timeline: Ongoing

Progress: Past-due penalties owed are posted on PDC's website. On August 26, 2005, the names of entities owing past-due penalties and amounts were released to local media. Media notification of past due penalties and amounts will be distributed quarterly.

- 1-2 Identify additional types of violations that lend themselves to application of penalty schedules; develop and implement new schedules.
Who: Assistant Director, Director of Compliance
Timeline: January 2005

Progress: Penalty schedules for the following types of violations will be brought to the Commission in January for review:

- 1) Failure to include political party affiliation;
- 2) Failure to use proper sponsor identification, including Notice to Voters and top five contributors; and
- 3) Failure to timely file the 21 or 7 day general election C-4 report.

- 1-3 Further utilize settlement alternatives, including stipulations, and explore feasibility of automatic standard penalties.
Who: Executive Director, Assistant Director, Senior Counsel, Sr. Asst. Attorney General
Timeline: Ongoing

Progress: At the October 27, 2005 meeting, the Commission authorized staff to bring stipulations that include penalties that are within the Commission's assessment authority, if circumstances warrant.

- 1-4 Develop an historical reference guide for enforcement decisions rendered and penalties imposed by full commission.
Who: Director of Compliance
Timeline: December 2004

Progress: Enforcement history is now being provided at each brief and full Commission hearing. A new chart format has been developed to present the enforcement history.

- 1-5 Identify and implement two technological solutions that expedite enforcement efforts.

Who: Assistant Director, Chief Technology Officer

Timeline: December 2004, December 2005

Progress: Time Matters software has been installed on all compliance division workstations. This tracking system will enable management and compliance staff to improve case management and customer service.

IT Staff have developed custom query system web pages that provide compliance staff immediate access to data. Examples of these queries are:

1. Lobbyist Employers who have not filed L-3 reports
2. Which officials have not filed their annual F1
3. Which candidates have not filed their C1/F1
4. Which lobbyists have not filed their monthly L2
5. Campaigns that need to E-file

- 1-6 Send notices to officers of PACs that remain registered, but who have not filed for two-year period.

Who: Director of Compliance

Timeline: Annually in February

Progress: The notice will be sent out in February 2006.

- 1-7 Monitor timeliness of investigations by tracking duration of routine, moderately complex, and complex investigations. Report results.

Who: Director of Compliance

Timeline: Ongoing

Progress: Compliance staff is tracking the duration of investigations by type to monitor timeliness. Results will be reported at the January meeting.

Objective: Improve reliability of disclosed information.

Strategy: Verify accuracy of lobbying reports. [Statewide Result No. 11. Activity: Enforcement of Public Disclosure Laws.]

Action Items:

- 1-8 Conduct random audits of 25 lobbyist employers and their lobbyists to verify accuracy of reports filed pursuant to RCW 42.17.150 through .180, including the subject matter of proposed legislation or rule-making which was supported or opposed during a reporting period.

Who: Director of Compliance

Timeline: Ongoing

Progress: **Records for 25 lobbyist employers and their 38 lobbyists have been requested and received. Audits will begin in December.**

- 1-9 Conduct random audits of 5 public agencies to verify accuracy of lobbying reports filed pursuant to RCW 42.17.190, including the general description of the nature of lobbying undertaken during a reporting period.

Who: Director of Compliance

Timeline: Ongoing

Progress: **A review of public agency lobbying reports (PDC L5 form) submitted by agencies during the 2005 legislative session has been completed. Non-filers have been contacted to verify whether a report was due. Five public agencies have been randomly selected for audit. Audits will be started in December.**

2. Enhance public access to disclosure reports and data through evolving technology.

Objective: Increase functionality and usefulness of IT systems.

All strategies and action items below advance Statewide Result No. 11.

Activity: Provide Public Access to Campaign, Lobbying and Financial Information.

Strategy: Release Online Reporting of Campaign Activity (ORCA) software.

Action Items:

- 2-1 Complete transition of volunteer campaigns to ORCA software.
Who: Chief Technology Officer, Communications & Training Officer
Timeline: January 2005

Progress: **The ORCA software is on-schedule for production deployment in January 2006. A production deployment plan and training strategy has been developed.**

- 2-2 Continue upgrading ORCA according to prioritized list of enhancements.

Who: Chief Technology Officer

Timeline: Ongoing

Progress: **The list of ORCA enhancements for new features and functionality outside of the scope of the first production version of the software continues to evolve and grow. Input received during Beta testing**

and from stakeholder feedback will help staff prioritize the enhancement features.

Strategy: Maintain recent technological advances.

Action Items:

- 2-3 Through resource management and budget submissions, acquire funding for technology maintenance and acquisitions that continue to advance reliable, secure and efficient service.
Who: Executive Director, Chief Technology Officer
Timeline: Ongoing

Progress: Staff has received supplemental funding through the DIS/OFM Small Agency Computing Resources Pool reimbursement program and procured \$68,000 in security hardware and software that is now being implemented. Additionally, an ongoing maintenance level budget for \$142,000 per biennium has been allotted to the agency in support and maintenance of critical IT infrastructure.

- 2-4 Re-design website for freshness, clarity, ease-of-use and functionality.
Who: Chief Technology Officer, Communications and Training Officer
Timeline: June 2006

Progress: An ongoing web design committee comprised of compliance and IT staff has been established. Committee conceptual recommendations anticipated in January 2006.

Staff has solicited ideas and input from statewide media regarding potential changes to website, and are developing a list of web site enhancements, identifying the scope of the project, resource requirements and possible outsourcing opportunities.

- 2-5 Enhance service delivery through development of an on-line customer survey and automated email alerts regarding specific new filings.
Who: Chief Technology Officer, Communications & Training Officer
Timeline: December 2005

Progress: An on-line customer survey has been developed and is prominently displayed on the PDC home page.

Customer subscriptions for an automated e-mail alert feature on the web site is planned and yet to be developed and implemented. It is anticipated this will be incorporated into the larger overall web site enhancement plans.

Strategy: Improve access to lobbying information.

Action Items:

- 2-6 Generate support within the legislature and the lobbying community for distribution of the lobbyist pictorial directory via the Legislature's intranet.

Who: Assistant Director, Communications & Training Officer

Timeline: January 2005

Progress: Done. Implemented in January of 2005.

- 2-7 Review occupational category selections for lobbyist employers to incorporate current national industry classification standards.

Who: Administrative Officer

Timeline: November 2004

Progress: Done. On January 19, 2005, Director of Administration provided the IT division with a draft occupational category selection listing that is compatible with the national industry classification standards.

- 2-8 Hold stakeholder meeting regarding placing lobbyist pictorial directory on website; relay comments to Commission.

Who: Assistant Director, Communications & Training Officer

Timeline: December 2005

Progress: Done. A stakeholder meeting concerning electronically publishing the pictorial directory was held on September 13, 2005, and the Commission was briefed at their September meeting. A final stakeholder meeting on this subject will occur on December 1, 2005.

3. Enhance communication with agency customers.

Objective: Increase filer and media awareness of PDC requirements.

All strategies and action items below advance Statewide Result No. 11.

Activity: Provide Public Access to Campaign, Lobbying and Financial Information.

Strategy: Increase utilization of electronic communications.

Action Items:

- 3-1 For distribution of materials to lobbyists, lobbyist employers, F-1 filers, political committees, and candidates, rely primarily on electronic mail with Internet links and compact diskettes.

Who: Communications & Training Officer, Administrative Officer

Timeline: Ongoing

Progress: Ongoing. Examples of electronic communication with the public include:

- E-mails are sent to candidates and committees confirming receipt of their registration forms and providing internet links to forms, manuals and brochures.
- E-mails are sent to candidates and committees that selected 'mini reporting' notifying them of the required steps to change to full reporting. Again, links are provided to forms, manuals and brochures.
- The members of the public who request forms and manuals are first directed to the PDC website, or provided a CD containing documents. Only those individuals not having internet access or printing capabilities are provided hardcopies of materials.
- Requests for information are responded to via e-mail.

3-2 For distribution of enforcement warning letters, transition to reliance on electronic mail with Internet links; explore use of electronic mail for enforcement hearing notices.

Who: Assistant Director, Director of Compliance, Senior Counsel

Timeline: Ongoing

Progress: New "plain talk" warning letters and enforcement hearing notices have been developed and used for group enforcement. The feasibility of using electronic mail with internet links for warning letters and hearing notices will be discussed with legal counsel.

3-3 Place copies of complaints being investigated on website.

Who: Director of Compliance

Timeline: Ongoing

Progress: Done. Copies of new complaints under investigation are being posted to the Compliance section of the website.

Strategy: Attain 100% compliance with reporting deadlines.

Action Items:

3-4 Through education and training, all persons required to file disclosure reports become proficient with reporting requirements and systems.

Who: Communications & Training Officer

Timeline: Ongoing

Progress: Staff provided 18 training opportunities to date in FY 2006 reaching approximately 293 individuals required to file with the Commission.

3-5 Send electronic reminder notices to filers 5 to 7 days before report due dates.

Who: Communications & Training Officer, Administrative Officer

Timeline: Ongoing

Progress: Between August 1 and November 4, 2005, staff provided 25 e-mail reminders to filers notifying them of upcoming due dates and other important information.

Strategy: Raise profile of public disclosure law and its requirements beyond South and Central Puget Sound regions.

Action Items:

3-6 Through press releases, guest editorials and public service announcements, increase awareness and usage of disclosed information.

Who: Communications & Training Officer

Timeline: Ongoing

Progress: Press releases regarding Commission action and national recognition have been distributed during FY 2006. Some examples include the following:

- PDC News is distributed to statewide media after every Commission meeting.
- “Friday Facts” were sent weekly to statewide media through 2005 election season highlighting features and information found on PDC website and significant website updates.
- A Java servlet for the Spokane Mayor recall measure was added to the 25 existing servlets (various 2005 races/ballot measures) on the PDC’s homepage to provide easy access and awareness for the public.

3-7 Increase contacts with media in Bellingham, Yakima, Spokane, Tri-Cities, Wenatchee and Vancouver to enhance their understanding of disclosure provisions and usage of website data.

Who: Communications & Training Officer

Timeline: June 2006

Progress: Commissioner Schellberg’s interview with the *Bellingham Herald* was published on August 14, 2005. Chair Tilly’s interview with the *Wenatchee Business Journal* was published on October 19, 2005.

Staff held meetings with media outlets to provide general information about the Public Disclosure Commission and specific details about the PDC’s website. These meetings occurred on the following dates:

- September 21, 2005 – approximately 15 *Tri-City Herald* reporters and two editors and a reporter from KNDU TV
- September 22, 2005 – approximately nine *Yakima Herald Republic* reporters and one editor
- October 13, 2005 – four reporters from *the Olympian* (at their request)

- 3-8 Survey the public to determine whether (a) the policy objectives of I-276 and I-134 remain important, and (b) the PDC is doing a credible job of implementing and enforcing the law.

Who: Executive Director, Assistant Director, Communications & Training Officer

Timeline: December 2006

Progress: Staff contacted a representative of Washington State University's Institutional Review Board and discussed criteria and process used by WSU for sanctioning research projects.

4. Increase Commission and staff capacity to meet future challenges.

Objective: Increase agency's ability to satisfy public expectations.

All strategies and action items below advance Statewide Result No. 11.

Activities: Enforcement of Public Disclosure Laws and Provide Public Access to Campaign, Lobbying and Financial Information.

Strategy: Communicate resource needs and recommendations for statutory revisions to the Legislature.

Action Items:

- 4-1 Submit budget request that incorporates increased funding for information technology staff, maintenance and renovations to agency infrastructure.

Who: Commission, Executive Director, Chief Technology Officer,

Timeline: August 2004

Progress: \$142,000 in additional funding was sought and authorized by the State Legislature for IT maintenance and assurance agreements.

A DIS/OFM Small Agency Client Services Technology Pool grant application may be pursued as one time funding to allocate to the web site enhancement project.

- 4-2 Work with legislative staff on revising chapter 42.17 RCW to eliminate inconsistencies and ambiguities.

Who: Commissioner Connelly, Executive Director, Senior Counsel

Timeline: December 2005

Progress: While a heavy interim workload has impacted legislative staff efforts on this project, work is proceeding. A re-write bill will probably not be ready by January 2006.

- 4-3 Implement ESSB 5034, the Electioneering Communications law, through stakeholder meetings, rule drafting and adoption, and development of electronic form.

Who: Executive Director, Senior Counsel, Assistant Director and Chief Technology Officer

Timeline: January 2006 (electronic form by June 2006)

Progress: Rulemaking to implement ESSB 5034 is in progress. The Commission provided preliminary guidance at the October and November meetings. An initial stakeholder meeting is scheduled for December 14, 2005. Draft language needs to be approved by February, with public hearings and possible adoption to occur in April.

Strategy: Develop alternatives to current practices that further promote efficiencies and improved customer service.

Action Items:

- 4-4 Examine staff organization to optimize effective and efficient resource management.

Who: Executive Director, Assistant Director, Chief Technology Officer

Timeline: January 2005

Progress: Staff re-organization occurred in the spring of 2005.

Information generated through the agency's GMAP process will provide the data necessary to evaluate resource management and staff organization.

- 4-5 Explore incentives for staff retention.

Who: Assistant Director, Administrative Officer

Timeline: February 2005

Progress: Staff has developed a Performance Management Policy with the Department of Personnel which, once implemented, will allow for additional monetary compensation based on extraordinary performance by classified employees.

Staff is in the process of developing an agency training policy that provides for job skill and personal development opportunities for all staff.

- 4-6 Locate, equip and operate redundant facility to protect data and support business resumption in the event of a disaster.

Who: Chief Technology Officer

Timeline: June 2005

Progress: The Commission received DIS approval of the IT investment plan for the acquisition of redundant computing infrastructure. All acquisitions have been made and received and implementation is in progress.

Servers, networking appliances and software have been installed. Testing and configuration is currently being performed regarding all new systems with an anticipated full production cut over to the new computing infrastructure in December 2005.

As part of the Governors Disaster Recovery/Business Continuity initiative, the IT Division is awaiting the designation of shared facilities in Eastern Washington to move redundant systems to that region in preparation for a disaster in our area.

- 4-7 Implement computerized reference manual that incorporates statutes, rules, case law decisions, declaratory orders, interpretations, policies and advisory letters.

Who: Assistant Director, Communications & Training Officer

Timeline: December 2005

Progress: Approximately 90% of the agency's precedent setting court decisions, rules, declaratory orders, and interpretations have been scanned with OmniPage Office software (optical character reader), and indexed. Further, 90% of the agency's substantive correspondence (including letters and e-mails) and other historical documents have been similarly processed.

The IT staff completed the website that supplements the Google search appliance and is used to access the contents of the reference manual.

Different search techniques were demonstrated for the Commissioners and PDC staff on October 27 and 28, respectively.

Gathering, scanning, and indexing of documents continues.

- 4-8 Implement continued training for compliance staff related to investigations (case management, interviewing witnesses, analyzing findings, report writing, testifying, etc.).

Who: Assistant Director, Director of Compliance, Administrative Officer

Timeline: Ongoing

Progress: On November 16, 2005, all compliance staff received training in report writing, interview techniques, and evidence processes. Selected staff are scheduled to attend presentation and clear writing classes. As part of the personnel development program, we are looking at expanded training opportunities as resources permit.

Government Management Accountability and Performance

- 4-9 Implement a Complaint Review and Tracking System that monitors and records completion of each step of the resolution process in order to identify and anticipate obstacles to prompt resolution and promote timeliness.

Who: Assistant Director, Director of Compliance, Compliance Officer
Timeline: July 2005; Ongoing

Progress: A Complaint Review Process has been developed. It facilitates tracking of complaints from receipt to resolution. If a complaint stalls, staff can determine where, why and how to remedy the situation.

- 4-10 Use Time Matters software to track the amount of compliance staff time devoted to customer service/filer assistance.

Who: Assistance Director, Chief Technology Officer
Timeline: July 2005; Ongoing

Progress: Time Matters software installed on workstations allows the tracking of customer service calls in compliance. Management is better able to make staffing decisions based on daily volume and type of in-coming customer calls.

- 4-11 Survey WEDS and ORCA users to measure and compare customer satisfaction with each product and identify ORCA enhancements.

Who: Chief Technology Officer, Compliance and Training Officer
Timeline: WEDS – December 2005; ORCA – December 2006

Progress: A survey to gather data for comparing user satisfaction with WEDS and ORCA has been developed and implemented. The survey is accessible through a URL included in all electronic filer confirmation e-mails. As of November 22, 2005, 104 WEDS users have responded to the survey.

- 4-12 Measure quantity and quality of data entry and scanning work product to determine what level of output maximizes quantity without sacrificing quality.

Who: Chief Technology Officer, Quality Assurance Manager
Timeline: July 2005; Ongoing

Progress: Data entry and imaging performance checks measure both quantity and quality of work accomplished, allowing management to set informed performance expectations. The following tasks have been accomplished:

1) Developed a batch quality database to track:

- Quantity – documents/pages scanned and scanning time;
- Quantity – documents/pages data entered and entry time;
- Quality - error rate per batch and page re data entry;
- Quality - error rate per batch and page re scanned documents.